

U.S. Department of Education
Office of Postsecondary Education
Washington, DC 20006-8510



**APPLICATION FOR GRANTS
UNDER THE
TRAINING PROGRAM FOR
FEDERAL TRIO PROGRAMS
(CFDA NUMBER: 84.103A)**

Form Approved

OMB 1840-0125, Exp. Date

JUNE 28, 2004

TABLE OF CONTENTS

Dear Applicant Letter	i
Notice Inviting Applications for New Awards	1
Absolute Priorities for Fiscal Year 2004	5
Authorizing Statute	9
Program Regulations	22
Executive Order 12372 – Intergovernmental Review State Single Points of Contact	30
Application Transmittal Instructions	34
Information on the Awards Process	36
Government Education Provision Act (GEPA)	37
Government Performance Result Act (GPRA)	39
DUNS Number Instructions	40
Instructions for completing the Application and Forms	41
Part I Application for Federal Education Assistance (ED 424) (Application Face Sheet)	42
Supplement to Face Sheet	43
Part II Budget Summary and Narrative	48
Part III Program Narrative	54
Department of Education Certifications and Assurances	56
Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs	63
Survey on Ensuring Equal Opportunity for Applicants	64

Dear Applicant:

Thank you for your interest in applying for a grant under the Training Program for Federal TRIO Programs (Training Program). This letter highlights some items in the application package that will be important to you in applying for a grant under this program. Please read the entire application package carefully before you prepare your application and note that applicants must apply electronically.

The U.S. Department of Education (Department) is expanding the pilot project, which began in fiscal year (FY) 2000, that allows applicants to use an Internet-based electronic system for submitting applications. We are requiring that applications for FY 2004 Training Program grants be submitted electronically using e-Application available through the Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at:

<http://e-grants.ed.gov>

An applicant who is unable to submit an application through the e-GRANTS system may submit a written request for a waiver of the electronic submission requirement. Additional information about e-Application submission requirements is included in this package in the closing date notice and in the transmittal instructions.

Please note the following provisions:

1. Eligible applicants include institutions of higher education and other public and private nonprofit institutions and organizations.
2. We will consider only those applications that address one of the absolute priorities listed in the application and the Notice Inviting Applications (Notice) in the Federal Register.
3. All applicants for multi-year awards must provide detailed budget information for the total grant period requested. The Department will determine the funding levels for each year of the grant award at the time of the initial award. Grants are awarded for two years. An annual performance report will be used in place of the continuation application to determine progress.
4. All applicants are required to adhere to the application limitation of fifty (50) pages. This page limit applies to all information included in the entire application and will be strictly

enforced. Applications that exceed this number will not be reviewed. The Notice contains the specific instructions governing page limits.

5. We request that you follow the format for Part III - Program Narrative that is provided in the application package. Although the Training Program regulations (34 CFR 642.31) require applicants to address “Need” which is worth 25 points, you will note that we have not included "Need" as a selection criterion. This action is being taken because we solicited recommendations for training topics from TRIO personnel in October 2003. We considered those recommendations in determining “need” as reflected in the five absolute priorities. Thus, applicants do not have to demonstrate “need” for the training in their proposals. Each eligible application will be awarded 25 points in the evaluation process.
6. If you request a waiver to the requirement of submitting your application electronically, please submit a signed original and three (3) copies of your application. Your voluntary submission of a disk containing the application would also be greatly appreciated.
7. Currently funded Training Program grantees should note that prior experience will be assessed for Program Years 2000-01, 2001-02 and 2002-03.
8. Applicants should pay close attention to the information under “Maximum Award” provided in the Notice. We will reject any application with a budget that exceeds the maximum award amount established for that priority. In making funding decisions, the Department will award grants based on the application’s rank-order within each priority.

The application must be submitted on or before the deadline date. Detailed submission instructions are provided in the “Application Transmittal Instructions”. Applications submitted after the deadline will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to the applications will be accepted after the deadline date.

For additional information regarding this application package, please contact Patricia S. Lucas or Virginia Mason, Federal TRIO Programs, U.S. Department of Education by telephone at (202) 502-7600, by email at TRIO@ed.gov or by mail at 1990 K Street, N.W., 7th Floor, Washington, DC 20006-8510, ATTN: CFDA 84.103A.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Training Program for Federal TRIO Programs

(Training Program)

Notice inviting applications for new awards for fiscal year (FY) 2004.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.103A

Dates:

Applications Available: May 6, 2004.

Deadline for Transmittal of Applications: June 28, 2004.

Deadline for Intergovernmental Review: August 27, 2004.

Eligible Applicants: Institutions of higher education and other public and private nonprofit institutions and organizations.

Estimated Available Funds: \$6,000,000.

Estimated Range of Awards: \$300,000-\$500,000.

Estimated Average Size of Awards: \$400,000.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for each of the five absolute priorities, listed below, for a single budget period of 12 months:

Priority 1: \$500,000;

Priority 2: \$500,000;

Priority 3: \$300,000;

Priority 4: \$400,000; and

Priority 5: \$300,000.

The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

In addition, successful applicants must provide training to at least one trainee for each \$1,500 awarded, unless we specifically approve another amount.

Estimated Number of Awards: 10-15.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 24 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: To improve the operation of projects funded under the Federal TRIO Programs, the Training Program provides grants to train staff and leadership personnel employed in, participating in, or preparing for employment in projects funded under the TRIO Programs.

Priorities: In accordance with 34 CFR 75.105(b)(2)(iv) and 34 CFR 75.105(b)(2)(ii), these priorities are from section 402G(b) of the Higher Education Act of 1965, as amended (HEA); and the regulations for this program (34 CFR 642.34). Each successful applicant must provide at least one training session on each requisite topic listed within a specific priority that is tailored to the needs of TRIO staff with less than two years of TRIO project experience.

Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under that specific priority. An application for a grant under a specific priority must not include information concerning any other priority. For example, an application for a grant under Priority 1 must address only training to improve budget management, recordkeeping and reporting student and project

performance, and evaluation of project performance. The application should not include information concerning any other topic or priority.

Absolute Priorities: For FY 2004, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet these priorities.

These priorities are:

Priority 1. Training to improve: budget management; recordkeeping and reporting student and project performance; and evaluation of project performance.

Number of expected awards: 1-3.

Maximum award amount: \$500,000.

Priority 2. Training on: the legislative and regulatory requirements for operation of the Federal TRIO Programs; personnel management; and student financial aid.

Number of expected awards: 1-3.

Maximum award amount: \$500,000.

Priority 3. Training on: counseling; and retention and graduation strategies.

Number of expected awards: 1-3.

Maximum award amount: \$300,000.

Priority 4. Training to coordinate project activities with other available resources and activities and training to design and operate a model TRIO project.

Number of expected awards: 1-3.

Maximum award amount: \$400,000.

Priority 5. Training in the use of educational technology.

Number of expected awards: 1-3.

Maximum award amount: \$300,000.

Maximum number of applications for a priority: An applicant may submit only one application for a grant under each priority. If an applicant submits more than one application under a specific priority, we will accept only the first application submitted and we will reject all other applications. Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under the specific priority. An application for a grant under a specific priority must not include information concerning any other priority. For example, an application for a grant under Priority 1 must address only training to improve budget management; record keeping and reporting student and project performance; and evaluation of project performance.

Program Authority: 20 U.S.C. 1070a-11 and 20 U.S.C. 1070a-17.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

(b) The regulations for this program in 34 CFR part 642.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian Tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$6,000,000.

Estimated Range of Awards: \$300,000-\$500,000.

Estimated Average Size of Awards: \$400,000.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for each of the five absolute priorities, listed below, for a single budget period of 12 months:

Priority 1: \$500,000;
Priority 2: \$500,000;
Priority 3: \$300,000;
Priority 4: \$400,000; and
Priority 5: \$300,000.

The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

In addition, successful applicants must provide training to at least one trainee for each \$1,500 awarded, unless we specifically approve another amount.

Estimated Number of Awards: 10-15.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 24 months.

III. Eligibility Information

1. Eligible Applicants: Institutions of higher education and other public and private nonprofit institutions and organizations.
2. Cost Sharing or Matching: This competition does not involve cost sharing or matching.
3. Other: An applicant may submit only one application for a grant under each priority. Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under that specific priority. An application for a grant under a specific priority must not include information concerning any other priority.

Successful applicants will be expected to provide training to at least one trainee for each \$1,500 awarded, unless we specifically approve another amount.

Each successful applicant also must provide at least one training session on each listed topic in a specific priority that is tailored to

the needs of new project directors and TRIO staff with less than two years of TRIO project experience.

IV. Application and Submission Information

1. Address to Request Application Package: Patricia S. Lucas or Virginia A. Mason, U.S. Department of Education, 1990 K Street, N.W., Suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by email: TRIO@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting one of the program contact persons listed in this section

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition. Page Limit: You must limit the entire application (cover to cover, including all required forms, assurances and certifications) to no more than 50 pages using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no

smaller than 10 pitch (characters per inch).

We will reject your application if—

- You apply these standards and exceed the page limit;

or

- You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: May 6, 2004.

Deadline for Transmittal of Applications: June 28, 2004.

The dates and times for the transmittal of applications by mail or by hand (including a courier service or commercial carrier) are in the application package for this competition. The application package also specifies the hours of operation of the e-Application Web site.

We do not consider an application that does not comply with the deadline requirements.

Deadline for Intergovernmental Review: August 27, 2004.

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR Part 79.

Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We specify unallowable costs in 34 CFR 642.41. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Instructions and requirements for the transmittal of applications by mail or by hand (including a courier service or commercial carrier) are in the application package for this competition.

Application Procedures: The Government Paperwork Elimination Act (GPEA) of 1998, (Pub. L. 105-277) and the Federal Financial Assistance Management Improvement Act of 1999, (Pub. L. 106-107) encourage us to undertake initiatives to improve our grant processes. Enhancing the ability of individuals and entities to conduct business with us electronically is a major part of our response to these Acts. Therefore, we are taking steps to adopt the Internet as our chief means of conducting transactions in order to improve services to our customers and to simplify and expedite our business processes.

Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

We are requiring that applications for grants under the Training Program--CFDA Number 84.103A--be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at: <http://e-grants.ed.gov>

If you are unable to submit an application through the e-GRANTS system, you may submit a written request for a waiver of the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. Address your request to: Linda Byrd-Johnson, Ph.D., U.S. Department of Education, 1990 K Street, N.W., Room 7085, Washington, DC

20006-8510. Please submit your request no later than two weeks before the application deadline date.

If, within two weeks of the application deadline date, you are unable to submit an application electronically, you must submit a paper application by the application deadline date in accordance with the transmittal instructions in the application package. The paper application must include a written request for a waiver documenting the reasons that prevented you from using the Internet to submit your application.

Pilot Project for Electronic Submission of Applications:

We are continuing to expand our pilot project for electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Training Program--CFDA 84.103A is one of the programs included in the pilot project. If you are an applicant under the Training Program--CFDA 84.103A you must submit your application to us in electronic format or receive a waiver.

The pilot project involves the use of e-Application. If you use e-Application, you will be entering data online while completing your application. You may not e-mail an electronic copy of a grant application to us. The data you enter online will be saved into a database. We shall continue to evaluate the success of e-Application and solicit suggestions for its improvement.

If you participate in e-Application, please note the following:

- When you enter the e-Application system, you will find information about its hours of operations. We strongly recommend that you do not wait until the application deadline date to initiate an e-Application package.

- You will not receive additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit an application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance and Supplement to Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Your e-Application must comply with any page limit requirements described in this notice.

- After you electronically submit your application, you will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the Application for Federal Education Assistance (ED 424) to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
2. The applicant's Authorizing Representative must sign this form.
3. Place the PR/Award number in the upper right hand corner of the hard copy signature page of the ED 424.
4. Fax the signed ED 424 to the Application Control Center at (202) 260-1349.

- We may request that you give us original signatures on all other forms at a later date.

Application Deadline Date Extension in Case of System Unavailability:

If you are prevented from submitting your application on the

application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. You are a registered user of e-Application and you have initiated an e-Application for this competition; and

2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

- (b) The e-Application system is unavailable for any period of time during the last hour of operation (that is, for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time) on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the persons listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contacts) or (2) the e-GRANTS help desk at 1-888-336-8930.

You may access the electronic grant application for the Training Program--CFDA 84.103A at: <http://e-grants.ed.gov>

V. Application Review Information

1. Selection Criteria: The selection criteria for this program competition are in 34 CFR Part 642.31 and the application package.

Note: For the FY 2004 competition, the Secretary has identified need for training projects through the selection of five absolute priorities. Therefore, the Secretary will consider that an applicant has satisfied the "need" criterion listed in 34 CFR 642.31(f) by applying for a grant under one of these priorities, and applicants do

not have to address this criterion. The application package contains instructions on addressing the selection criteria.

2. Review and Selection Process: Within the specific absolute priority for which a grant is requested, the Secretary will select an application for funding in rank-order based on the application's total score for the selection criteria and the applicant's prior experience, pursuant to 34 CFR 642.30-646.32. Within each absolute priority, if there are applications with the same total scores, the Secretary will select for funding the applicant that has the greatest capacity to provide training in all regions of the nation in order to assure accessibility to prospective training participants.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must

provide an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: The success of the Training Program will be measured by its cost-effectiveness, based on the percentage of TRIO personnel receiving training each year and by the percentage of those receiving training who rate the training as highly useful. All grantees will be expected to submit an annual performance report documenting their success in training TRIO personnel, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided.

VII. Agency Contacts

For Further Information Contact: Patricia S. Lucas or Virginia A. Mason, U.S. Department of Education, 1990 K Street, N.W., Suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to one of the program contact persons listed in this section.

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the

U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

www.gpoaccess.gov/nara/index.html

Dated:

Sally L. Stroup,
Assistant Secretary for
Postsecondary Education.

Absolute Priorities for Fiscal Year 2004

The Department of Education is interested in funding projects under the Training Program for Federal TRIO Programs to provide training for staff and leadership personnel employed in, participating in or preparing for employment in, the Federal TRIO Programs. In October 2003, the Director, Federal TRIO Programs, solicited recommendations for training topics from TRIO professionals. More than 225 responses were received as a result of that solicitation. After reviewing those responses, the Secretary has identified training topics listed under the following five (5) absolute priorities for this competition. The Notice Inviting Applications (Notice) published in the Federal Register has additional information on these absolute priorities.

Absolute Priority 1.

Training on Budget Management. Emphasis should be placed on how to develop and improve budget management through internal controls and financial management. In addition, the training should cover checks and balances designed to ensure that grant funds are used only for eligible expenses and that no one person controls the authorization and disbursement of grant funds. Training should also cover conflicts of interest provisions and the grantee's obligations as a fiduciary. Special emphasis should be placed on the relevant OMB Circulars. Exercises designed to assess the level of knowledge of the TRIO personnel targeted for training should also be addressed.

Recordkeeping and Reporting Student and Project Performance. This training should provide TRIO directors and staff with effective strategies and techniques for collecting, storing and analyzing data and reporting student and project performance. Training addressing this subject area should give particular attention to:

- collecting participant data; storing and retrieving participant data;
- strategies for participant follow-up (tracking); using program data and other data as appropriate (i.e., comparison groups, national studies) to determine the impact of project services on the educational progress of project participants; and
- presenting data to effectively inform interested stakeholders of program outcomes and effectiveness.

Evaluation of Project Performance. Sessions must provide training on the use of a self-assessment process that is both formative and summative and contributes to project improvement and staff development. The process must involve a rigorous assessment of the project, including definition of outcomes in areas such as: mission; student learning and development outcomes; project leadership; organization and management; human resources; financial resources; facilities, technology and equipment; legal responsibilities; equity and access; campus and external relations; diversity; ethics; and writing action plans for program improvement. The process should be a continuous assessment-improvement process with the goal of project improvement.

Absolute Priority 2.

Legislative and Regulatory Requirements for Operation of the Federal TRIO Programs. Grantees are expected to provide comprehensive and intensive training on the specific legislative and regulatory requirements of the TRIO programs. Applicants must demonstrate knowledge of the legislation as well as the regulations that govern the TRIO programs including the Education Department General Administration Regulation (EDGAR). Training must show the interrelationship of program legislation and program regulations and the importance of understanding EDGAR for the successful administration of a TRIO project. Special emphasis should be devoted to participant eligibility. Exercises designed to assess the level of knowledge of the TRIO personnel targeted for training should also be addressed.

Personnel Management. This training should be designed to assist teams of host institutional representatives in understanding the legislation and regulations governing the TRIO programs; to assure that TRIO directors and staff, along with institutional representatives from other departments, understand the expectations, rights, and responsibilities of institutions and agencies that agree to sponsor TRIO grants. Emphasis should be placed on:

- providing the history of the legislative purpose of TRIO from the federal viewpoint so that participants gain knowledge of TRIO regulations and effectively employ these regulations as a resource;
- how to effectively differentiate between allowable and non-allowable costs;
- learning how to prevent and resolve audit disputes; and
- examining the procedures for coordination between TRIO programs and other programs for disadvantaged students.

Student Financial Assistance. The Secretary seeks to equip TRIO directors and staff with the information and skills needed to assist disadvantaged students in obtaining adequate financial aid to enroll in institutions of higher education. Although TRIO projects effectively help students overcome social, cultural and academic barriers to higher education, most TRIO students need substantial financial assistance in order to pursue postsecondary education. Thus, TRIO directors and staff need to be knowledgeable of the wide range of federal, state, institutional, and private aid available to TRIO eligible-students. Training addressing this topic also should give particular attention to:

- how projects can work with financial aid offices to provide a student sufficient financial assistance to meet his or her full financial need while limiting the student's loan burden to a manageable level;
- how projects can help a student interested in enrolling in a graduate program secure graduate fellowships or assistantships; and
- appropriate use of the grant aid provision in Student Support Services.

Absolute Priority 3.

Counseling. Experience in training counselors in a cross-cultural approach to active counseling is desired. Given the cultural diversity of the students served by the TRIO programs, emphasis should be placed on strategies to sensitize TRIO personnel of the cultural issues involved in counseling students. In addition, training should be designed to address the special needs of the various target populations, i.e., those that provide services to adult populations, (Educational Opportunity Centers and Veterans Upward Bound), and well as those that serve the more traditional student populations. Applicants should document their expertise in equipping practitioners with strategies and techniques for a holistic approach to counseling. In addition, trainers must be qualified to assess current strategies employed, be able to distinguish between academic advising and counseling, and be able to provide TRIO personnel with the skills required to enhance and expand their current counseling programs, as appropriate. Emphasis should also be placed on the need to provide counseling that will not only encourage and inspire, but will result in participants who enroll and graduate from a postsecondary institution.

Retention and Graduation Strategies. Training should equip TRIO project personnel with proven strategies for retaining and graduating students. Applicants addressing this subject area should include documentation of:

- their expertise in evaluating and assessing proven strategies that could be or currently are used by TRIO projects to retain and graduate their students;
- their qualifications to assist TRIO personnel in enhancing or revising their plans;
- their awareness of the needed systems of support to enhance retention and graduation; and
- (follow-up activities to determine the projects' outcomes in these areas as a result of the training.

Absolute Priority 4.

The Design and Operation of a Model TRIO Project. Grantees should provide opportunities to share effective practices of successful TRIO programs. Successful TRIO programs are considered to be those that consistently establish and achieve aggressive goals. This training is designed to identify and share the factors responsible for achieving success. Applicants addressing this priority should document their knowledge and experience in identifying model programs and/or practices and with assessing current TRIO operations for the purpose of offering innovative techniques for both the creation and operation of model projects. Model training in curriculum and instruction, and support services for persons of limited proficiency in English are encouraged.

Coordinating Project Activities with Other Available Resources and Activities.

Under Section 402A of the HEA, the Secretary encourages TRIO projects to coordinate with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. In addition, the Secretary

permits TRIO Directors to administer additional programs for disadvantaged students operated by the sponsoring institution or agency. Thus, the Secretary seeks to fund projects that propose training on:

- the benefits to TRIO programs of coordinating projects activities with similar campus-based programs;
- strategies for forgoing partnerships and collaborative relationships with other entities to ensure that TRIO students benefit from other resources and activities available to them; and
- techniques for effectively managing multiple projects with similar goals but different funding requirements.

In addition, this training should encourage the use of technology to coordinate project activities with other available resources and activities. Applicants should document the degree to which they have experience in centralizing, cataloging and disseminating information through electronic media so that TRIO projects nationally have access to such information. Further, applicants should discuss their experience in training TRIO personnel in the use of such technology and present plans for evaluating the effectiveness of this approach to disseminating information.

Absolute Priority 5.

Use of Educational Technology. Grantees should teach TRIO personnel effective strategies for using technology in a variety of ways, including:

- innovative technology-based instructional programs in various subject areas, such as math, science, literature and history;
- use of the world wide web for engaging TRIO participants to enhance their learning experience;
- technology-based service delivery (i.e., counseling, academic and career advising, achievement and admissions testing);
- use of technology to provide better access to educational opportunities; and
- use of technology for effective project management, including recordkeeping.

Higher Education Act of 1965, 1998 Higher Education Act Amendments
Subpart 2—Federal Early Outreach and Student Services Programs
CHAPTER 1—FEDERAL TRIO PROGRAMS SEC. 402A. 20 U.S.C. 1070a–11
PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

(a) GRANTS AND CONTRACTS AUTHORIZED.—The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.

(b) RECIPIENTS, DURATION, AND SIZE.—

(1) RECIPIENTS.—For the purposes described in subsection(a), the Secretary is authorized, without regard to section 3709of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.

(2) DURATION.—Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that—(A) the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year;(B) grants made under section 402G shall be awarded for a period of 2 years; and(C) grants under section 402H shall be awarded for a period determined by the Secretary.

(3) MINIMUM GRANTS.—Unless the institution or agency requests a smaller amount, individual grants under this chapter shall be no less than—

(A) \$170,000 for programs authorized by sections 402D and 402G;

(B) \$180,000 for programs authorized by sections 402B and 402F; and

(C) \$190,000 for programs authorized by sections 402C and 402E.

(c) PROCEDURES FOR AWARDED GRANTS AND CONTRACTS.—

(1) APPLICATION REQUIREMENTS.—An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.

(2) PRIOR EXPERIENCE.—In making grants under this chapter, the Secretary shall consider each applicant's prior experience of service delivery under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.

(3) ORDER OF AWARDS; PROGRAM FRAUD.—

(A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.

(B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.

(4) PEER REVIEW PROCESS.—

(A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.

(B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications) .

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS.—The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS.—

The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director of a program receiving funds under this chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs.

(7) APPLICATION STATUS.—The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the startup date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(d) OUTREACH.—

(1) IN GENERAL.—The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE.—In carrying out the provisions of paragraph(1), the Secretary shall notify the entities described in subsection(b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE.—The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility

requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE.—The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW-INCOME INDIVIDUAL.—

(1) Except in the case of an independent student, as defined in section 480(d), documentation of an

individual's status pursuant to subsection (g)

(2) shall be made by providing the Secretary with—

(A) A signed statement from the individual's parent or legal guardian;

(B) Verification from another governmental source;

(C) A signed financial aid application; or

(D) A signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

(A) A signed statement from the individual;

(B) Verification from another governmental source;

(C) A signed financial aid application; or

(D) A signed United States or Puerto Rico income tax return.

(e) AUTHORIZATION OF APPROPRIATIONS.—For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated \$700,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than one half of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(f) DEFINITIONS.—For the purpose of this chapter:

(1) FIRST GENERATION COLLEGE STUDENT.—The term “first-generation college student” means—

(A) An individual both of whose parents did not complete a baccalaureate degree;
or

(B) In the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) LOW-INCOME INDIVIDUAL.—The term “low-income individual” means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) VETERAN ELIGIBILITY.—No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual's age who—

(A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released therefrom under conditions other than dishonorable; or

(B) served on active duty after January 31, 1955, and was discharged or released

therefrom because of a service connected disability.

(4) **WAIVER.**—The Secretary may waive the service requirements in subparagraph (A) or (B) of paragraph (3) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

Sec. 402B HIGHER EDUCATION ACT OF 1965

SEC. 402B. 20 U.S.C. 1070a–12 TALENT SEARCH.

(a) **PROGRAM AUTHORITY.**—The Secretary shall carry out a program to be known as talent search which shall be designed—

(1) To identify qualified youths with potential for education at the postsecondary level and to encourage such youths to complete secondary school and to undertake a program of postsecondary education;

(2) To publicize the availability of student financial assistance available to persons who pursue a program of postsecondary education; and

(3) To encourage persons who have not completed programs of education at the secondary or postsecondary level, but who have the ability to complete such programs, to reenter such programs.

(b) **PERMISSIBLE SERVICES.**—Any talent search project assisted under this chapter may provide services such as—

(1) Academic advice and assistance in secondary school and college course selection;

(2) Assistance in completing college admission and financial aid applications;

(3) Assistance in preparing for college entrance examinations;

(4) Guidance on and assistance in secondary school reentry, entry to general educational development (GED) programs, other alternative education programs for secondary school dropouts, or postsecondary education;

(5) Personal and career counseling, or activities designed to acquaint individuals from disadvantaged backgrounds with careers in which the individuals are particularly underrepresented;

(6) Tutorial services;

(7) Exposure to college campuses as well as cultural events, academic programs and other sites or activities not usually available to disadvantaged youth;

(8) Workshops and counseling for families of students served;

(9) Mentoring programs involving elementary or secondary school teachers or counselors, faculty members at institutions of higher education, students, or any combination of such persons; and

(10) Programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) **REQUIREMENTS FOR APPROVAL OF APPLICATIONS.**—In approving applications for talent search projects under this chapter for any fiscal year the Secretary shall—

(1) Require an assurance that not less than two-thirds of the individuals participating in the project proposed to be carried out under any application be low-income individuals who are first generation college students;

(2) Require that such participants be persons who either have completed 5 years of elementary education or are at least 11 years of age but not more than 27 years of age, unless the imposition of any such limitation with respect to any person would defeat the purposes of this section or the purposes of section 402F;

(3) Require an assurance that individuals participating in the project proposed in the application do not have access to services from another project funded under this section or under section 402F; and

(4) Require an assurance that the project will be located in a setting accessible to the persons proposed to be served by the project.

Sec. 402C HIGHER EDUCATION ACT OF 1965SEC. 402C. 20 U.S.C. 1070a-13 UPWARD BOUND.

(a) PROGRAM AUTHORITY.—

The Secretary shall carry out a program to be known as upward bound which shall be designed to generate skills and motivation necessary for success in education beyond secondary school.

(b) PERMISSIBLE SERVICES.—Any upward bound project assisted under this chapter may provide services such as—

- (1) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school;
- (2) Counseling and workshops;
- (3) Academic advice and assistance in secondary school course selection;
- (4) Tutorial services;
- (5) Exposure to cultural events, academic programs, and other activities not usually available to disadvantaged youth;
- (6) Activities designed to acquaint youths participating in the project with the range of career options available to them;
- (7) Instruction designed to prepare youths participating in the project for careers in which persons from disadvantaged backgrounds are particularly underrepresented;
- (8) On campus residential programs;
- (9) Mentoring programs involving elementary or secondary school teachers or counselors, faculty members at institutions of higher education, students, or any combination of such persons;
- (10) Work-study positions where youth participating in the project are exposed to careers requiring a postsecondary degree;
- (11) Special services to enable veterans to make the transition to postsecondary education; and
- (12) programs and activities as described in paragraphs (1) through (11) which are specially designed for students of limited English proficiency.

(c) REQUIRED SERVICES.—Any upward bound project assisted under this chapter which has received funding for two or more years shall include, as part of the core curriculum in the next and

succeeding years, instruction in mathematics through pre-calculus, laboratory science, foreign language, composition, and literature.

(d) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.—In approving applications for upward bound projects under this chapter for any fiscal year, the Secretary shall—

- (1) Require an assurance that not less than two-thirds of the youths participating in the project proposed to be carried out under any application be low-income individuals who are first generation college students;
- (2) Require an assurance that the remaining youths participating in the project proposed to be carried out under any application be either low-income individuals or first generation college students;
- (3) Require that there be a determination by the institution, with respect to each participant in such project that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school; and
- (4) Require that such participants be persons who have completed 8 years of elementary education and are at least 13 years of age but not more than 19 years of age, unless the imposition of any such limitation would defeat the purposes of this section

(e) MAXIMUM STIPENDS.—Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of \$60 per month during June, July, and August,

except that youth participating in a work-study position under subsection(b)(10) may be paid a stipend of \$300 per month during June, July, and August. Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of \$40 per month during the remaining period of the year.

**Sec. 402D HIGHER EDUCATION ACT OF 1965 SEC. 402D. 20 U.S.C. 1070a-14
STUDENT SUPPORT SERVICES.**

(a) PROGRAM AUTHORITY.—The Secretary shall carry out a program to be known as student support services which shall be designed—

- (1) To increase college retention and graduation rates for eligible students;
- (2) To increase the transfer rates of eligible students from 2-year to 4-year institutions; and
- (3) To foster an institutional climate supportive of the success of low-income and first generation college students and individuals with disabilities.

(b) PERMISSIBLE SERVICES.—A student support services project assisted under this chapter may provide services such as—

- (1) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school;
- (2) Personal counseling;
- (3) Academic advice and assistance in course selection;
- (4) Tutorial services and counseling and peer counseling;
- (5) Exposure to cultural events and academic programs not usually available to disadvantaged students;
- (6) Activities designed to acquaint students participating in the project with the range of career options available to them;
- (7) Activities designed to assist students participating in the project in securing admission and financial assistance for enrollment in graduate and professional programs;
- (8) Activities designed to assist students currently enrolled in 2-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education;
- (9) Mentoring programs involving faculty or upper class students, or a combination thereof; and
- (10) Programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.—In approving applications for student support services projects under this chapter for any fiscal year, the Secretary shall—

- (1) Require an assurance that not less than two-thirds of the persons participating in the project proposed to be carried out under any application—
 - (A) be individuals with disabilities; or
 - (B) be low-income individuals who are first generation college students;
- (2) Require an assurance that the remaining students participating in the project proposed to be carried out under any application be low-income individuals, first generation college students, or individuals with disabilities;
- (3) Require an assurance that not less than one-third of the individuals with disabilities participating in the project be low-income individuals;
- (4) Require that there be a determination by the institution, with respect to each participant in such project, that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school;
- (5) Require that such participants be enrolled or accepted for enrollment at the institution which is the recipient of the grant or contract; and
- (6) Consider, in addition to such other criteria as the Secretary may prescribe, the institution's effort, and where applicable past history, in—

- (A) Providing sufficient financial assistance to meet the full financial need of each student in the project; and
- (B) Maintaining the loan burden of each such student at a manageable level.

**14 Sec. 402E HIGHER EDUCATION ACT OF 1965 SEC. 402E. 20 U.S.C. 1070a–15À
POSTBACCALAUREATE ACHIEVEMENTPROGRAM AUTHORITY.**

(a) PROGRAM AUTHORITY.—The Secretary shall carry out a program to be known as the “Ronald E. McNair Postbaccalaureate Achievement Program” that shall be designed to provide disadvantaged college students with effective preparation for doctoral study.

(b) SERVICES.—A post-baccalaureate achievement project assisted under this section may provide services such as—

- (1) Opportunities for research or other scholarly activities at the institution or at graduate centers designed to provide students with effective preparation for doctoral study;
- (2) Summer internships;
- (3) Seminars and other educational activities designed to prepare students for doctoral study;
- (4) Tutoring;
- (5) Academic counseling;
- (6) Activities designed to assist students participating in the project in securing admission to and financial assistance for enrollment in graduate programs;
- (7) Mentoring programs involving faculty members at institutions of higher education, students, or any combination of such persons; and
- (8) Exposure to cultural events and academic programs not usually available to disadvantaged students.

(c) REQUIREMENTS.—In approving applications for post-baccalaureate achievement projects assisted under this section for any fiscal year, the Secretary shall require—

- (1) An assurance that not less than two-thirds of the individuals participating in the project proposed to be carried out under any application be low income individuals who are first generation college students;
- (2) An assurance that the remaining persons participating in the project proposed to be carried out be from a group that is underrepresented in graduate education;
- (3) An assurance that participants be enrolled in a degree program at an eligible institution having an agreement with the Secretary in accordance with the provisions of section 487;and
- (4) An assurance that participants in summer research internships have completed their sophomore year in postsecondary education.

(d) AWARD CONSIDERATIONS.—In addition to such other selection criteria as may be prescribed by regulations, the Secretary shall consider in making awards to institutions under this section—

- (1) The quality of research and other scholarly activities in which students will be involved;
- (2) The level of faculty involvement in the project and the description of the research in which students will be involved; and
- (3) The institution’s plan for identifying and recruiting participants including students enrolled in projects authorized under this section.

(e) MAXIMUM STIPENDS.—Students participating in research under a post-baccalaureate achievement project may receive an award that—

- (1) Shall include a stipend not to exceed \$2,800 per annum; and
- (2) May include, in addition, the costs of summer tuition, summer room and board, and transportation to summer programs.

(f) FUNDING.—From amounts appropriated pursuant to the authority of section 402A(f), the

Secretary shall, to the extent practicable, allocate funds for projects authorized by this section in an amount which is not less than \$11,000,000 for each of the fiscal years 1993 through 1997.

**Sec. 402F HIGHER EDUCATION ACT OF 1965 SEC. 402F. 20 U.S.C. 1070a–16
EDUCATIONAL OPPORTUNITY CENTERS.**

(a) PROGRAM AUTHORITY; SERVICES PROVIDED.—The Secretary shall carry out a program to be known as educational opportunity centers which shall be designed—

- (1) To provide information with respect to financial and academic assistance available for individuals desiring to pursue a program of postsecondary education; and
- (2) To provide assistance to such persons in applying for admission to institutions at which a program of postsecondary education is offered, including preparing necessary applications for use by admissions and financial aid officers.

(b) PERMISSIBLE SERVICES.—An educational opportunity center assisted under this section may provide services such as—

- (1) Public information campaigns designed to inform the community regarding opportunities for postsecondary education and training;
- (2) Academic advice and assistance in course selection;
- (3) Assistance in completing college admission and financial aid applications;
- (4) Assistance in preparing for college entrance examinations;
- (5) Guidance on secondary school reentry or entry to a general educational development (GED) program or other alternative education programs for secondary school dropouts;
- (6) Personal counseling;
- (7) Tutorial services;
- (8) Career workshops and counseling;
- (9) Mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of such persons; and
- (10) programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.—In approving applications for educational opportunity centers under this section for any fiscal year the Secretary shall—

- (1) Require an assurance that not less than two-thirds of the persons participating in the project proposed to be carried out under any application be low income individuals who are first generation college students;
- (2) Require that such participants be persons who are at least nineteen years of age, unless the imposition of such limitation with respect to any person would defeat the purposes of this section or the purposes of section 402B; and
- (3) Require an assurance that individuals participating in the project proposed in the application do not have access to services from another project funded under this section or under section 402B.

**Sec. 402G HIGHER EDUCATION ACT OF 1965 SEC. 402G. 20 U.S.C. 1070a–17 STAFF
DEVELOPMENT ACTIVITIES.**

(a) SECRETARY'S AUTHORITY.—For the purpose of improving the operation of the programs and projects authorized by this chapter, the Secretary is authorized to make grants to institutions of

higher education and other public and private nonprofit institutions and organizations to provide training for staff and leadership personnel employed in, participating in, or preparing for employment in, such programs and projects.

(b) CONTENTS OF TRAINING PROGRAMS.—Such training shall include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operation of such programs and projects and shall be carried out in the various regions of the Nation in order to ensure that the training opportunities are appropriate to meet the needs in the

local areas being served by such programs and projects. Such training shall be offered annually for new directors of projects funded under this chapter as well as annually on the following topics and other topics chosen by the Secretary:

- (1) Legislative and regulatory requirements for the operation of programs funded under this chapter.
- (2) Assisting students in receiving adequate financial aid from programs assisted under this title and other programs.
- (3) The design and operation of model programs for projects funded under this chapter.
- (4) The use of appropriate educational technology in the operation of projects assisted under this chapter.

(c) CONSULTATION.—Grants for the purposes of this section shall be made only after consultation with regional and State professional associations of persons having special knowledge with respect to the needs and problems of such programs and projects.

**Sec. 404A HIGHER EDUCATION ACT OF 1965 SEC. 402H. 20 U.S.C. 1070a-18
EVALUATIONS AND GRANTS FOR PROJECT IMPROVEMENT AND
DISSEMINATION PARTNERSHIP PROJECTS.**

(a) EVALUATIONS.—

(1) IN GENERAL.—For the purpose of improving the effectiveness of the programs and projects assisted under this chapter, the Secretary may make grants to or enter into contracts with institutions of higher education and other public and private institutions and organizations to evaluate the effectiveness of the programs and projects assisted under this chapter.

(2) PRACTICES.—The evaluations described in paragraph (1) shall identify institutional, community, and program or project practices that are particularly effective in enhancing the access of low-income individuals and first-generation college students to postsecondary education, the preparation of the individuals and students for postsecondary education, and the success of the individuals and students in postsecondary education. Such evaluations shall also investigate the effectiveness of alternative and innovative methods within Federal TRIO programs of increasing access to, and retention of, students in postsecondary education.

(b) GRANTS.—The Secretary may award grants to institutions of higher education or other private and public institutions and organizations, that are carrying out a program or project assisted under this chapter prior to the date of enactment of the Higher Education Amendments of 1998, to enable the institutions and organizations to expand and leverage the success of such programs or projects by working in partnership with other institutions, community based organizations, or combinations of such institutions and organizations, that are not receiving assistance under this chapter and are serving low-income students and first generation college students, in order to—

- (1) Disseminate and replicate best practices of programs or projects assisted under this chapter; and
- (2) Provide technical assistance regarding programs and projects assisted under this chapter.

(c) RESULTS.—In order to improve overall program or project effectiveness, the results of evaluations and grants described in this section shall be disseminated by the Secretary to similar programs or projects assisted under this subpart, as well as other individuals concerned with postsecondary access for and retention of low-income individuals and first-generation college students.

PART 642--TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS

[Code of Federal Regulations][Title 34, Volume 3][Revised as of July 1, 2001]From the U.S. Government Printing Office via GPO Access [CITE: **34CFR642.1**][Page 289] TITLE 34--EDUCATION CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION PART 642--TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS—

Table of Contents Subpart A--General Sec. 642.1 Training Program for Federal TRIO Programs.

The Training Program for Federal TRIO Programs--referred to in these regulations as the Training Program--provides Federal financial assistance to train the staff and leadership personnel employed in, or preparing for employment in, Federal TRIO Program projects. (Authority: 20 U.S.C. 1070a-17)[58 FR 51519, Oct. 1, 1993]

[Code of Federal Regulations][Title 34, Volume 3][Revised as of July 1, 2001] From the U.S. Government Printing Office via GPO Access[CITE: **34CFR642.2**][Page 289] TITLE 34--EDUCATION CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION PART 642--TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS—

Table of Contents Subpart A--General Sec. 642.2 Eligible applicants. The following are eligible to apply for a grant to carry out a Training Program project:

- (a) Institutions of higher education.
 - (b) Public and private nonprofit agencies and organizations.
- (Authority: 20 U.S.C. 1070a-17)

Table of Contents Subpart A--General Sec. 642.3 Eligible participants. The following are eligible for training under this program:

- (a) Leadership personnel and full and part-time staff members of projects under the Federal TRIO Programs.
- (b) Individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a-17)[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

Table of Contents Subpart A--General Sec. 642.4 Regulations that apply to the Training Program.

The following regulations apply to the Training Program:

- (a) The Education Department General Administrative Regulations (EDGAR) as follows:
 - (1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).
 - (2) 34 CFR part 75 (Direct Grant Programs).
 - (3) 34 CFR part 77 (Definitions that Apply to Department Regulations).
 - (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
 - (5) 34 CFR part 82 (New Restrictions on Lobbying).
 - (6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).
 - (7) 34 CFR part 86 (Drug-Free Schools and Campuses).
- (b) The regulations in this part 642.

(Authority: 20 U.S.C. 1070a-11 and 1070-17) [47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

Table of Contents Subpart A--General Sec. 642.5 Definitions that apply to the Training Program.

- (a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR part

77:

Applicant	Grantee
Application	Nonprofit
Award	Private
Budget	Project
EDGAR	Project period
Equipment	Public
Facilities	Secretary
Fiscal year	State
Grant	Supplies

- (b) Definitions that apply to this part. The following definitions apply to this part:
Act means the Higher Education Act of 1965, as amended. [[Page 290]]
Federal TRIO Programs means the Upward Bound, Talent Search, Student Support Services, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement Programs.
(Authority: 20 U.S.C. 1001 et seq., 1070a-11, 1070-17, 1088, 1141, and 1144a)
Institution of higher education means an educational institution as defined in section 481, 1201(a), or 1204 of the Act.
Leadership personnel means project directors, coordinators, and other individuals involved with the supervision and direction of projects under the Federal TRIO Programs. 47 FR 17788, Apr. 23, 1982, as amended at 54 FR 7737, Feb. 22, 1989; 57 FR 9005, Mar. 13, 1992; 58 FR 51519, Oct. 1, 1993

Table of Contents Subpart B--What Kinds of Projects Does the Secretary Assist Under This Program?--General Sec. 642.10 Activities the Secretary assists under the Training Program.

- (a) A Training Program project trains the staff and leadership personnel of Federal TRIO Program projects to enable them to more effectively operate those projects.
(b) A Training Program project may include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operations of Federal TRIO Program projects.
(c) Each year, one or more Training Program projects must provide training for new project directors.
(d) Each year, one or more Training Program projects must offer training covering the following topics:
(1) The legislative and regulatory requirements for operating Federal TRIO Programs.
(2) Assisting students to obtain adequate student financial assistance from programs authorized under Title IV of the Act, as well as from other sources.
(3) The design and operation of model Federal TRIO Program projects.
(Authority: 20 U.S.C. 1070a-17)[58 FR 51519, Oct. 1, 1993]Subpart C [Reserved]

Subpart D--How Does the Secretary Make a Grant?--General Sec. 642.30 How the Secretary evaluates an application for a new award.

- (a) The Secretary evaluates an application on the basis of the criteria in Sec. 642.31.
(1) The Secretary awards up to 100 points for these criteria.
(2) The maximum possible score for each complete criterion is indicated in the parentheses next to the heading of that criterion.
(b) In addition, for applicants that have conducted a Training Program project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of Sec. 642.32.
(Authority: 20 U.S.C. 1070d, 1070d-1d)

Subpart D--How Does the Secretary Make a Grant?--General Sec. 642.31 Selection criteria the Secretary uses. The Secretary uses the criteria in paragraphs (a) through (f) of this section to evaluate applications:

- (a) Plan of operation. (20 points)

- (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.
 - (2) The Secretary looks for information that shows—
 - (i) High quality in the design of the project;
 - (ii) An effective plan of management that insures proper and efficient administration of the project;
 - (iii) A clear description of how the objectives of the project relate to the purpose of the program;
 - (iv) The way the applicant plans to use its resources and personnel to achieve each objective; and
 - (v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—
 - (A) Members of racial or ethnic minority groups;
 - (B) Women;
 - (C) Handicapped persons; and
 - (D) The elderly.
- (b) Quality of key personnel. (20 points)
- (1) The Secretary reviews each application for information that shows[[Page 291]]the qualifications of the key personnel the applicant plans to use on the project.
 - (2) The Secretary looks for information that shows—
 - (i) The qualifications of the project director;
 - (ii) The qualifications of each of the other key personnel to be used in the project;
 - (iii) The time that each person referred to in paragraphs (b)(2)(i) and (ii) of this section plans to commit to the project; and
 - (iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as—
 - (A) Members of racial or ethnic minority groups;
 - (B) Women;
 - (C) Handicapped persons; and
 - (D) The elderly.
 - (3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.
- (c) Budget and cost effectiveness. (10 points)
- (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.
 - (2) The Secretary looks for information that shows—
 - (i) The budget for the project is adequate to support the project activities; and
 - (ii) Costs are reasonable in relation to the objectives of the project.
- (d) Evaluation plan. (10 points)
- (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.
 - (2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.
- (e) Adequacy of resources. (15 points)
- (1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.
 - (2) The Secretary looks for information that shows—
 - (i) The facilities that the applicant plans to use are adequate; and
 - (ii) The equipment and supplies that the applicant plans to use are adequate.
- (f) Need. (25 points)
- (1) The Secretary reviews each application for information that shows a need for a

Training Program project.

- (2) The Secretary looks for information that shows—
- (i) The extent to which the proposed training addresses a specific need not addressed by other training projects available to Federal TRIO Programs personnel;
 - (ii) The extent to which the proposed training addresses a significant training need in the region(s) to be served; and
 - (iii) The extent to which the proposed training addresses needs that are consistent with the topics required by statute and other topics chosen as priorities by the Secretary as authorized under Sec. 642.34.

(Authority: 20 U.S.C. 1070a-11 and 1070a-17)[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993] Effective Date Note: At 58 FR 51519, Oct. 1, 1993 in Sec. 642.31, paragraph (f)(2)(i) was amended by removing "Special Programs" and adding "Federal TRIO Programs" in their place, and (f)(2)(iii) was revised. This section contains information collection and recordkeeping requirements and will not become effective until approval has been given by the Office of Management and Budget.

Subpart D--How Does the Secretary Make a Grant? --General Sec. 642.32 Prior experience. (a)(1)

The Secretary gives priority to each applicant that has conducted a Training Program project under title IV-A-4 of the Higher Education Act within the three fiscal years prior to the fiscal year for which the applicant is applying.

(2) To determine the number of priority points to be awarded each eligible applicant, the Secretary considers the applicant's prior experience of service delivery in accordance with paragraphs (b) and (c) of this section.

(b)(1) The Secretary may add from one to eight points to the point score obtained on the basis of the selection[[Page 292]]criteria in Sec. 642.31, based on the applicant's success in meeting the administrative requirements and programmatic objectives of paragraph (c) of this section.

(2) The maximum possible score for each criterion is indicated in the parentheses preceding the criterion.

(c)The Secretary--based on information contained in one or more of the following: Performance reports, audit reports, training site visit reports, evaluations by participants, project evaluation reports, the previously funded application, the negotiated program plan(s), and the application under consideration--looks for information that shows—

(1) (2 points) The extent to which the project has served the number and kinds of training participants it was funded to serve;

(2) (2 points) The extent to which participants benefited from training in areas such as—

- (i) Increased qualifications and skills in meeting the needs of disadvantaged students; and
- (ii) Increased knowledge and understanding of the Federal TRIO Programs;

(3) (2 points) The extent to which the applicant has achieved other goals and objectives as stated in the previously funded application or negotiated program plan; and

(4) (2 points) The extent to which the applicant has met the administrative requirements--including recordkeeping, reporting, and financial accountability--under the terms of the previously funded award.

(Authority: 20 U.S.C. 1070a-11)[47 FR 24973, June 8, 1982, as amended at 58 FR 51520, Oct. 1, 1993]

Subpart D--How Does the Secretary Make a Grant?--General Sec. 642.33 Geographic distribution.

The Secretary, to the greatest extent possible, awards grants for Training Program projects that will be carried out in all of the regions of the Nation in order to assure accessibility to prospective training participants.

(Authority: 20 U.S.C. 1070a-17)

Subpart D--How Does the Secretary Make a Grant?—General Sec. 642.34 Priorities for funding.

(a) The Secretary, after consultation with regional and State professional associations of persons having special knowledge with respect to the training needs of Special Programs personnel, may select one or more of the following subjects as training priorities:

- (1) Basic skills instruction in reading, mathematics, written and oral communication, and study skills.
- (2) Counseling.
- (3) Assessment of student needs.
- (4) Academic tests and testing.
- (5) College and university admissions policies and procedures.
- (6) Student financial aid.
- (7) Cultural enrichment programs.
- (8) Career planning.
- (9) Tutorial programs.
- (10) Retention and graduation strategies.
- (11) Support services for persons of limited proficiency in English.
- (12) Support services for physically handicapped persons.
- (13) Strategies for preparing students for doctoral studies.
- (14) Project evaluation.
- (15) Budget management.
- (16) Personnel management.
- (17) Reporting student and project performance.
- (18) Coordinating project activities with other available resources and activities.
- (19) General project management for new directors.
- (20) Legislative and regulatory requirements for the operation of programs.
- (21) The design and operation of model programs for projects funded under the Federal TRIO Programs.
 - (b) The Secretary annually funds training on the subjects listed in paragraphs (a)(6), (19), (20), and (21) of this section.
 - (c) The Secretary may consider an application for a Training Program project that does not address one of the established priorities if the applicant addresses another significant training need in the local area being served by the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a-11 and 1070a-17)

[54 FR 7737, Feb. 22, 1989, as amended at 58 FR 51520, Oct. 1, 1993][[Page 293]]

Subpart E--What Conditions Must Be Met by a Grantee?--General Sec. 642.40 Allowable costs.

Allowable project costs may include the following costs reasonably related to carrying out a Training Program project:

- (a) Rental of space, if space is not available at a sponsoring institution and if the space is not owned by a sponsoring institution.
 - (b) Printing.
 - (c) Postage.
 - (d) Purchase or rental of equipment if approved in writing by the Secretary.
 - (e) Consumable supplies.
 - (f) Transportation costs for participants and training staff.
 - (g) Lodging and subsistence costs for participants and training staff.
 - (h) Transportation costs, lodging and subsistence costs and fees for consultants, if any.
 - (i) Honorariums for speakers who are not members of the staff or consultants to the project.
 - (j) Other costs that are specifically approved in advance and in writing by the Secretary.
- (Authority: 20 U.S.C. 1070a-11 and 1070a-17)

Subpart E--What Conditions Must Be Met by a Grantee?--General Sec. 642.41 Nonallowable costs.

Costs that may not be charged against a grant under this program include the following:

- (a) Research not directly related to the evaluation or improvement of the project.
- (b) Construction, renovation, or remodeling of any facilities.
- (c) Stipends, tuition fees, and other direct financial assistance to trainees other than those participating in internships.

(Authority: 20 U.S.C. 1070a-11 and 1070a-17)

Executive Order 12372 – Intergovernmental Review

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government conditions and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. If you want to know the name and address of any State Single Point of Contact (SPOC) you may view the latest SPOC list on the OMB Web site at the following address:

<http://www.whitehouse.gov/omb/grants>

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit Intergovernmental Review comments directly to the Department.

Any state process recommendation and other comments submitted by a State Single Point of Contact and any other comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date in the program announcement for Intergovernmental Review to the following address:

The Secretary
E.O. 12372 – CFDA# 84.103A
U.S. Department of Education, FB-6, Room 7C116
400 Maryland Avenue, S.W.
Washington, D.C. 20202-0124

Please note that the above address is not the same address as the one which the applicant submits its completed application. **Do not send application to the above address.**

In those States that require review for this program, applications are to be submitted simultaneously to the State Review Process and the U.S. Department of Education.

Proof of mailing for intergovernmental review will be determined on the same basis as applications.

Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

An original and two copies of an application for an award must be mailed or hand-delivered by the application deadline date unless it is submitted electronically.

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Delivered by Mail

Applications sent by mail must be addressed to:

**U.S. Department of Education
Application Control Center
Attention: (CFDA Number)
550 12th Street, SW
PCP – Room 7067
Washington, D.C. 20202**

Applicants must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application.

Applications Delivered by Hand/Courier Service

An application that is hand-delivered must be taken to:

**U.S. Department of Education
Application Control Center
550 12th Street, SW
PCP – Room 7067
Washington, D.C. 20202**

The Application Control Center accepts deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

The Center accepts application deliveries must use the D Street entrance only. A person delivering an application must show identification to enter the building.

Information on the Awards Process

INTRODUCTION: The following information supplements the information provided in the “Dear Applicant” letter, the “Notice Inviting Applications for New Awards,” Funding Priorities for Fiscal Year 2004, and the remainder of this application booklet.

A. Prior Experience

Training projects previously funded for program years 2000-01, 2001-02, and 2002-03 are eligible to receive up to 15 additional points for prior experience.

B. Length of Awards

Applicants for new awards may apply for a maximum of two years (24 months) of funding.

C. Evaluation of Applications for Awards

A panel of experts who are not employees of the federal government will review each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

D. Selection of Grantees

In making funding decisions, the Department will fund applications based on their rank-order score within each priority. Within each priority, if there are insufficient funds for all applications with the same score, as tiebreaker, the Secretary will select for funding the applicant that has the capacity to provide training in all regions of the Nation in order to assure accessibility to prospective training participants.

E. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the appropriate members of Congress regarding applicants approved for a grant under the program. Successful applicants will be notified by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

F. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants. All applicants will be notified of the status of their application no later than [Month/date,]2004.

Notice to All Applicants

Guidance on Section 427 of GEPA

Thank you for your interest in these programs. The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants competing for new grant awards under Department's programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants competing for new discretionary grant awards under this program. **All applicants competing for new awards must include information in their applications that addresses this new provision in order to receive funding under this program.**

What Does This Provision Require?

Section 427 requires each applicant who competes for funds (other than an individual person) to include in the application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This Section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant who proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant who proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant who proposes to carry out a model science program for secondary students and who is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct “outreach” efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Information on the Government Performance and Result Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Help all students reach challenging academic standards so that they are prepared for responsible citizenship; further learning, and productive employment.*
- Goal 2: Build a solid foundation for learning for all children.*
- Goal 3: Ensure access to postsecondary education and lifelong learning.*
- Goal 4: Make the Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.*

The performance indicators for the Federal TRIO Programs are part of the Department's plan for meeting Goal 3.

What are the Performance Indicators for TRIO Training Program?

The Department's specific goal for the Federal TRIO Programs is "to increase participation and completion rates of disadvantaged persons through the academic pipeline." The success of the Training Program will be measured by its cost-effectiveness, based on the percentage of TRIO personnel receiving training each year and by the percentage of those receiving training whom rate the training as highly useful. All grantees will be expected to submit an annual performance report documenting their success in training TRIO personnel, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided.

DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

Instructions for Completing the Application and Forms

The application is divided into five parts. These parts are organized in the same manner that the submitted application should be organized. The sections are as follow:

Part I: Application for Federal Education Assistance (ED 424)(Application Face Sheet)

Part II: Budget Information ED No. 524

Part III: Program Narrative

According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0125. The time required to complete this information collection is estimated to average 34 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have any comments or concerns regarding the status of your individual submission of the form, write directly to:** The Federal TRIO Programs, Training Program for Federal TRIO Programs, U.S. Department of Education, 1990 K Street, NW, Suite 7000, Washington, DC 20006-8510.

Supplement to Application for Federal Education Assistance (ED 424)

PRIORITIES - FISCAL YEAR 2004

In addition to providing the title for the project in item (1) of the face sheet, please check below the number of the priority the application addresses. SELECT ONLY ONE.

_____ **Priority 1.** Training to improve: budget management; recordkeeping and reporting student and project performance; and, evaluation of project performance.

_____ **Priority 2.** Training on: the legislative and regulatory requirements for operation of the Federal TRIO Programs; personnel management; and, student financial aid.

_____ **Priority 3.** Training on: counseling; and, retention and graduation strategies.

_____ **Priority 4.** Training to coordinate project activities with other available resources and activities; and training to design and operate a model TRIO project.

_____ **Priority 5.** Training in the use of educational technology.

NOTE: This completed page must be returned with the application.

Budget Summary and Narrative

Please use the summary budget form (ED Form No. 524, Sections A and B) to categorize requested costs and non-federal commitment of funds, if any. The detailed budget and any accompanying narrative should provide a detailed breakdown of costs within each budget category and explain the basis for determining the amounts needed for personnel, staff travel, workshop costs, materials preparation, evaluation, and any other costs appropriate for the project.

Supplemental Budget Summary and Narrative

For this competition, applicants may request funding for up to **two years (24 months)**. The Department requires that all applicants for multi-year awards provide detailed budget information for the total grant period requested. Thus, summary budget and detailed budget narratives are needed for each 12-month budget period. Department staff will negotiate the funding levels for each year of the grant award at the time of the initial award. The Notice contains specific information governing the maximum award for each of the absolute priorities.

The funding request may include all costs that are reasonable and associated with carrying out the objectives of the Federal Training TRIO program. Among the costs that may be supported with grant funds are:

1. Personnel: Enter project personnel salaries and wages only. Fees and expenses for consultants should be included on line **F**. Include a statement that shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff. Provide a breakdown of project personnel that includes the position title, the percent of time and number of months committed to the project, and the total salary to be charged to the grant.
2. Fringe Benefits: The institution's normal fringe benefit contribution may be charged to the program. If benefits exceed twenty percent (20%), an explanation and justification must be provided. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. Include an explanation and appropriate justification if the institution or agency's normal benefit contribution exceeds 20 percent of salaries.
3. Travel: Indicate travel of employees and participants only. Travel of consultants, trainees, etc., may not be included in here. Travel costs for consultants should be included under "Contractual".

Staff Travel. Travel expenditures should be detailed as to purpose, objective, and number of persons involved. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation.

Per diem at the established institution or agency rate is permitted when an individual is away from home over night on official project business (See OMB Circular A-21, J.48.c - Commercial Air Travel). **No foreign travel will be authorized under the grant.**

The Federal TRIO Programs have developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

I. Project Director's Travel – Per Year

- A. One National Conference; **or**
- B. One Regional Meeting; **or**
- C. One State Meeting; and
- D. Travel for participation in one professional staff development

II. Full-time Professional Staff Travel – Per Year

- A. One National, Regional, **or** State Meeting; and
- B. Travel for staff development under the Training Program for Federal TRIO Programs.

- 4. Equipment: Indicate the cost of non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. Lower limits may be established to maintain consistency with the applicant's policy. List items of equipment in the following format: Item, number of items, cost per unit, total cost. Equipment purchases will only be approved if they are necessary to carry out project activities and are fully justified. (Please remember that equipment is defined as non-expendable personal property that has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with an applicant's policy, lower limits may be established.)
- 5. Supplies: Show all tangible personal property except that which is included on line **D**. Itemize costs for project supplies.
- 6. Contractual: Include consultant travel costs and fees.
- 7. Construction: Not applicable. Leave blank.
- 8. Other: Indicate all direct costs not covered on lines A through F. Examples are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. Provide a breakdown of all direct costs not clearly covered by other budget categories. Examples are computer-use charges, equipment rentals communication costs, printing, and consultant services. If the project proposes to use consultants, identify the consultants that will work on the project and the scope of work to be performed by each consultant. Provide a detailed

breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or agency policies

9. Total Direct Costs: The sum of lines A through H.
10. Indirect Costs: Indirect costs are limited to eight percent (8%) of a modified total direct cost base. To determine the modified total direct base subtract capital expenditures (equipment) of \$5,000 or more from line **I**, Total Direct Costs. Indirect costs are limited to up to eight percent (8%) of a modified total direct cost base (refer to section 75.562 (c) of the Education Department General Administrative Regulations (EDGAR)).
11. Training Stipends: Not applicable. Leave this blank.
12. Total Cost (line L): This should equal the sum of lines I and J (total direct cost plus indirect costs). This amount should also be equal to item 14a on the application face sheet.

.

Part III – Program Narrative

The Secretary evaluates an application on the basis of the criteria in Section 642.31(a-f), of the Training Program regulations. Applications should be concise and clearly written.

Before preparing the narrative, applicants should review the closing date notice, program statute, and any notice of final priorities for specific guidance or requirements. Note that applications will be evaluated according to the selection criteria specified in the closing date notice or in this package.

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of that evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

The program narrative should provide in detail the information, which addresses each selection criterion. The maximum possible score for each completed criterion is indicated in parenthesis next to the criterion. The applicant is urged to address the selection criteria in the following order:

1. PROJECT DESIGN

- | | | |
|----|--|-------------|
| A. | Plan of Operation [34 CFR Section 642.31(a)] | (20 points) |
| B. | Evaluation Plan [34 CFR Section 642.31(d)] | (10 points) |

2. RESOURCES

- | | | |
|----|---|-------------|
| A. | Adequacy of Resources [34 CFR Section 642.31(e)] | (15 points) |
| B. | Quality of Key Personnel [34 CFR Section 642.31(b)] | (20 points) |

3. BUDGET [34 CFR Section 642.31(c)] (10 points)

Total Maximum Score for Selection Criteria**75 points**

The above order is suggested since this is the same order in which the Technical Review Form is organized. The Technical Review Form is used by the reviewers to evaluate the application.

It is required that the application not exceed fifty (50) pages in length. The Notice Inviting Applications published in the Federal Register, contains the specific instructions governing page limits.

Successful applicants will be expected to report annually on the progress of the project including goals and objectives.